# User Guide

## FAM[1] System Enhancements:

## Linking FACE forms into FAM Module of eTools

**Issued:** December 2025
**RMPS Unit/PET - OSE**

[1] Financial Assurance Module of eTools

## Table of Content

## Purpose of the Guide and Target Audience

This guide aims to assist eTools users with supplementary information on how HACT assessment and financial assurance activities are conducted in FAM module of eTools. It provides a step-by-step outline of creating, performing, and reporting of scheduled audit, spot check, and special audit.

The Users of this guide include UNICEF HACT focal points, UNICEF audit focal points, UNICEF Spot checkers, and UNICEF Programme Result Managers as well as Third-Party Service Providers who will be involved in creating, conducting, and reviewing the engagements,.

## Overview of the Enhancement

### a) Background

Financial assurance activities—specifically spot checks and audits—are FACE-based procedures, meaning they are triggered only after Implementing Partners (IPs) report FACE forms. This creates an inherent linkage between assurance activities managed through eTools and the reported FACE expenditures.

However, the current Financial Assurance Module (FAM) does not create this linkage. Instead, assigned staff must manually identify the relevant FACE forms, determine the reporting periods, and calculate as well as record the total reported amounts. This manual process brings a set of risks that includes human error, data inconsistency, extra administrative burden, weak audit trail, etc.

### b) Objectives

The enhancement aims to resolve the above limitations by creating an automated connection between the FACE Form data in Insight (eZHACT 2.0/Version) and Financial Assurance engagements in FAM/eTools. With this improvement, staff will have the ability to view a list of FACE Forms reported by each partner directly within the assurance engagement interface. They will also be able to select the relevant FACE(s) designated for audits or spot checks. This enhancement will greatly enhance data accuracy and operational efficiency. Further objectives include:

- Ensure recording of financial data (e.g., amounts tested, financial findings) in both local currency and USD resolving currency-related issues that affect the integrity of the analysis and monitoring of financial findings reported through the financial assurance activities.
- Enhance data retrieval from Insight, making it easier to access relevant information. Improved coherence between the two primary platforms, Insight and eTools.
- Streamline monitoring of financial findings, including ineligible expenses, using Power BI and dashboards.

DFAM will also benefit from this enhancement of linking the FACE forms information into the financial assurance activities. This will facilitate tracing the ineligible expenditure identified in the financial assurance activities into the associated FACE Forms.

### c) Expected benefits

The expected benefits from the system upgrade include:

- **Data Accuracy:** Automatic data transfer between SAP/eZHACT 2.0 and eTools eliminates manual intervention, ensuring higher accuracy in financial data management.
- **Efficiency:** Reduces administrative time and duplication of effort associated with data re-entry.
- **Accountability:** Provides full traceability between reported expenditures, assurance processes, and results, enhancing transparency.
- **Stronger Oversight:** Enables improved analysis and evidence-based decision-making across offices.

### d) Key Enhancements

Key newly added features are:

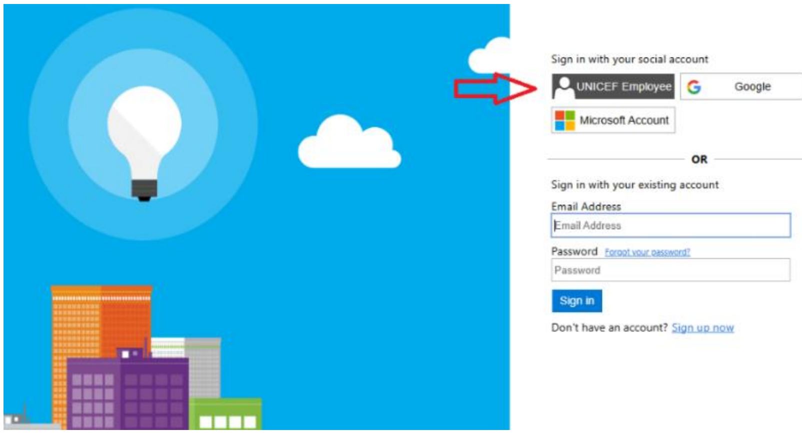
- FACE forms are automatically synchronized from Insight (eZHACT/VISION) during engagement creation in eTools FAM.
- The total amount of FACE forms are calculated automatically in both local currency and US dollar.
- A summary of prior HACT activities is provided during engagement creation for better visibility.
- Alerts are generated for FACE forms from previous assurance activities to prevent duplication in HACT assurance.
- Each financial finding can be reported individually in FAM.

## System Walk-Through

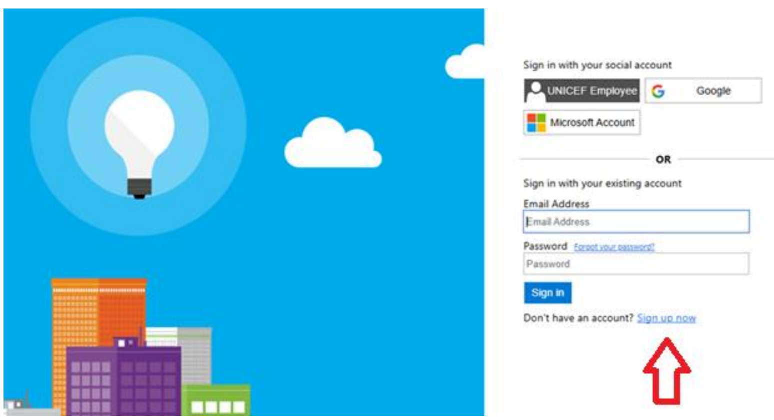
### a) Login to eTools

- **UNICEF Staff**
  1. Log into eTools using UNICEF email and password. Link to eTools: [https://etools.unicef.org/](https://etools.unicef.org/)

2. UNICEF Staff needs to select the button of **UNICEF Employee**

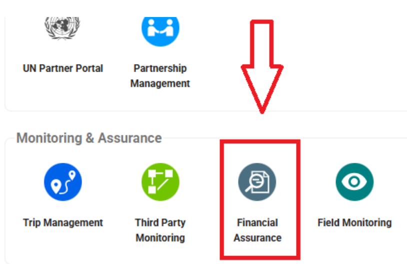



3. For external users, you need to first register (**Sign Up Now**) using the exact email address added by UNICEF Audit focal point. Complete the registration requirement. Then select **Sign in**



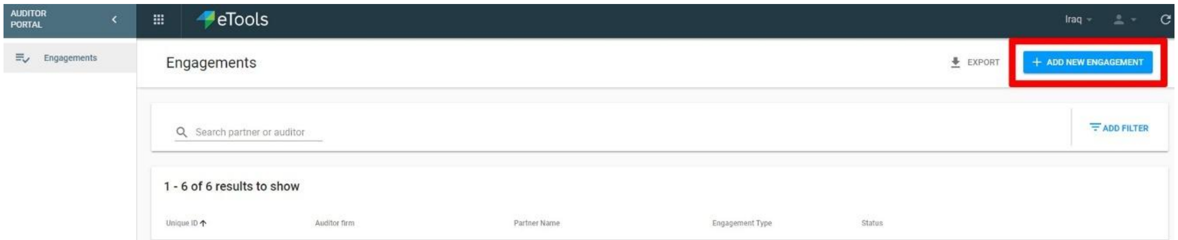

4. Click on the **Menu** icon in the top left corner of the screen.


5. Select Financial Assurance Module



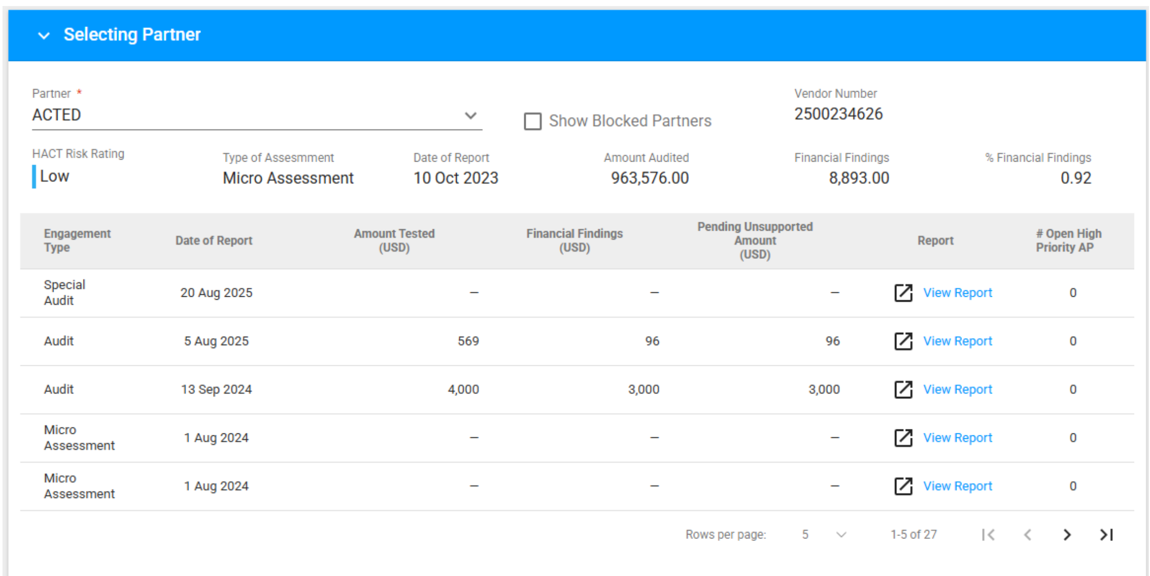
**Create an Engagement (Spot Check/Audit)**

6. Click on Add New Engagement



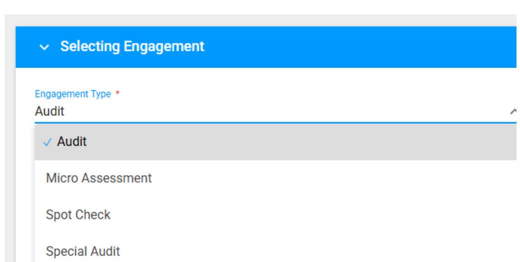

## b) View of Partner's History

7. drop-down list to select the partner *(A Summary Table of the previous Financial Assurances and assessment will be viewed automatically; along with the associated Financial Findings and Open Action points)*



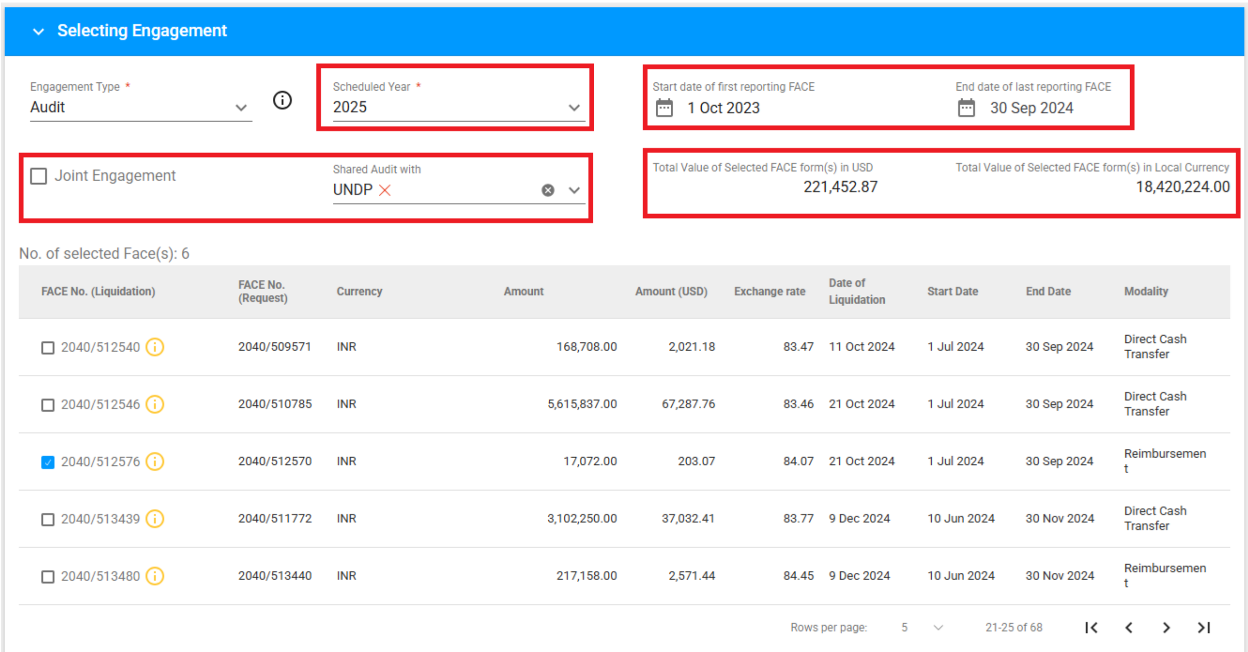

| Engagement Type | Date of Report | Amount Tested (USD) | Financial Findings (USD) | Pending Unsupported Amount (USD) | Report | # Open High Priority AP |
|---|---|---|---|---|---|---|
| Special Audit | 20 Aug 2025 | – | – | – | View Report | 0 |
| Audit | 5 Aug 2025 | 569 | 96 | 96 | View Report | 0 |
| Audit | 13 Sep 2024 | 4,000 | 3,000 | 3,000 | View Report | 0 |
| Micro Assessment | 1 Aug 2024 | – | – | – | View Report | 0 |
| Micro Assessment | 1 Aug 2024 | – | – | – | View Report | 0 |

8. Selecting the type of engagement




9. Select the Reported FACE Forms subjected for the exercise (Spot Check, Audit, Special Audit)

*(eTools will generate the list of reported FACE forms to allow the audit focal point to select the FACE Forms subject for the assurance activities)*.




**NOTE:** In case of a joint audit, you should check (mark) the box

**NOTE:** In case of a spot check/audit related to **shared IP** with other **UN agencies**, then select the UN agency/ies from the drop-down list

**NOTE:** eTools will display the sign ⓘ if any FACE Form(s) were included in previous assurance activities

**NOTE:** Total value of selected FACE form(s); Period Start Date; Period End Date will be automatically calculated.

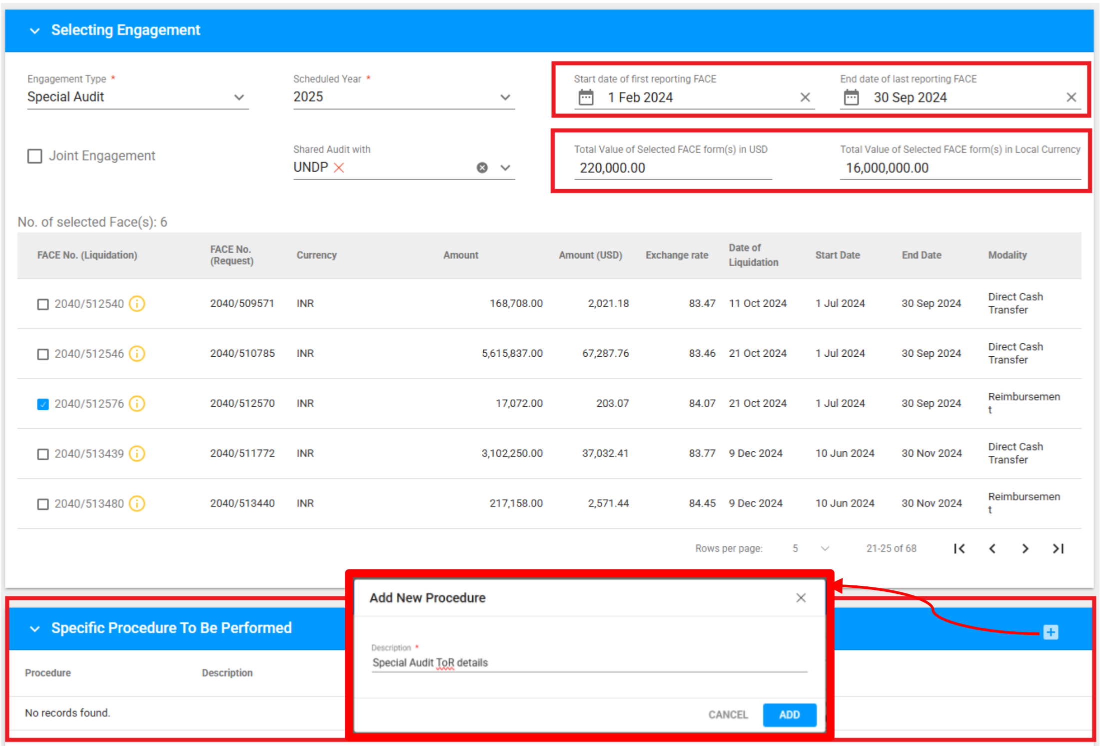
**NOTE:** The exchange rate will be determined based on the recent value of the local currency and its equivalent in USD from the reporting FACE form with the most recent end date of the reporting period.

**NOTE:** Total number of selected FACE forms will be display above the FACE form table.

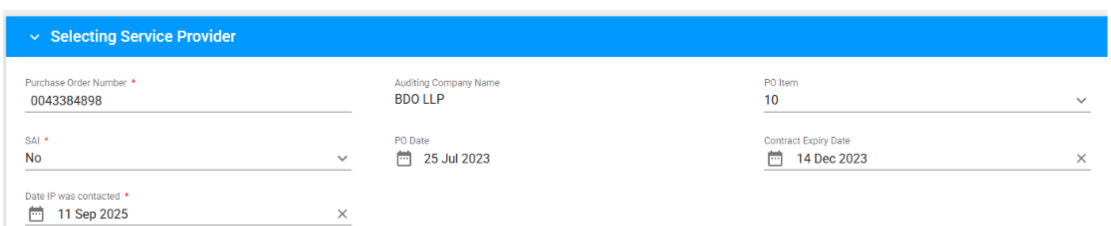
No. of selected Face(s): 3

**NOTE:** Each FACE form details, such as the total value in local currency and the equivalent in USD will appear based on the system generation.

**NOTE:** In Case of creating a special audit, then you will be required to add the specific procedure to be performed as shown below.




10. Vendor Name, PO Date, and Contract Expiry Date will automatically be populated (from VISION) once you enter Purchase Order Number (from VISION)
11. Enter **00** (double zero) followed by **Purchase Order (PO) Number** and press enter.

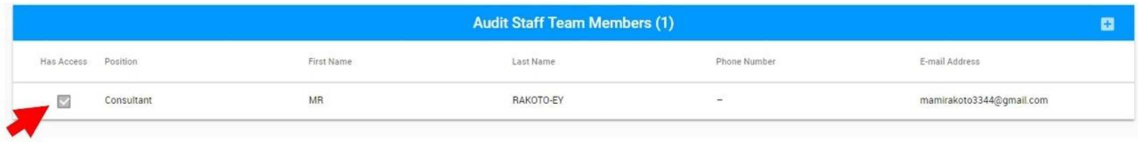



**NOTE:** When selecting the service provider, you need to use the Purchase Order reference

**NOTE:** Select the date when the IP was contacted to conduct the exercise

**NOTE:** Changes to the date of contacting the IP will remain available until the date of field visit is identified.

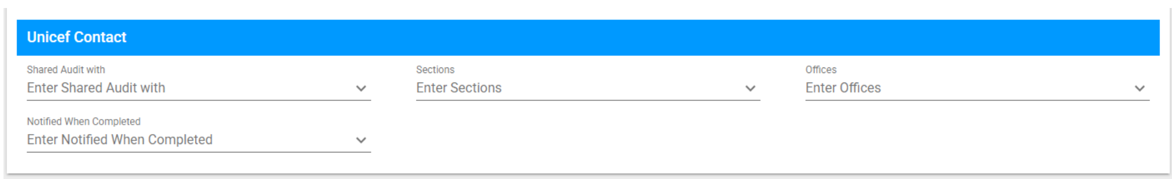
12. Select at least one Audit Staff Member or click on the plus sign at the top right of the section to add a new audit staff member.



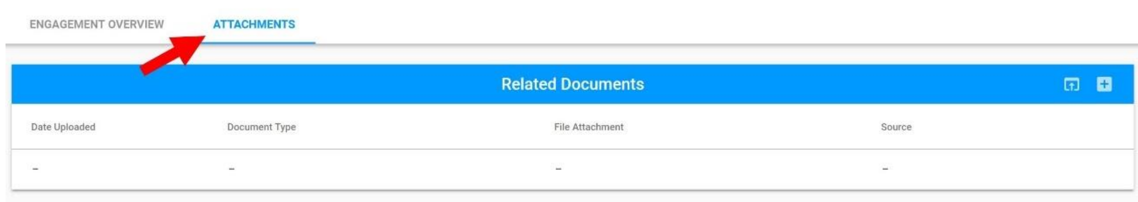

13. Partner details will be automatically populated


**NOTE:** In case of assurance activity is conducted for CSOs, a list of PDs/SPDs will be automatically populated as optional for selection.

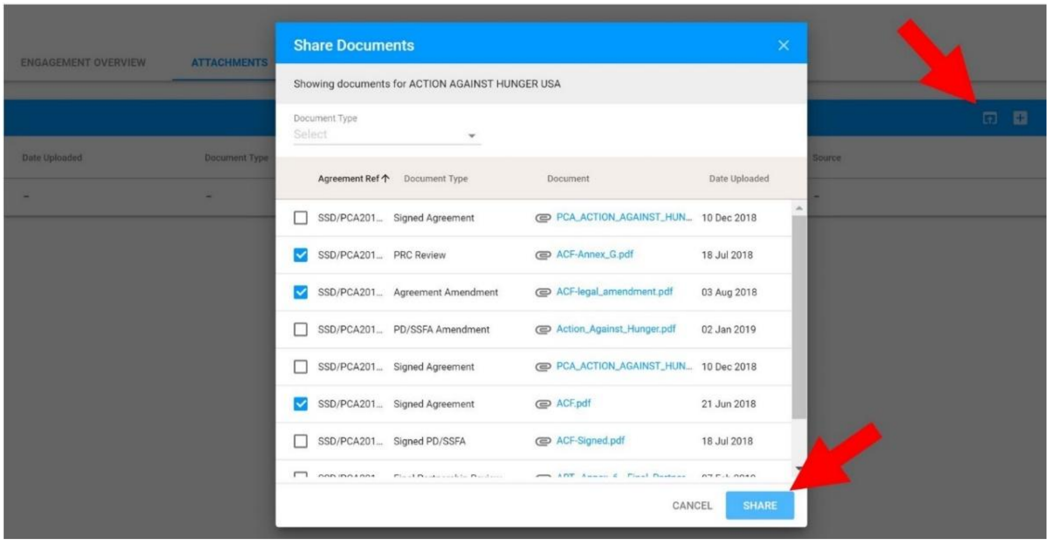
14. Fill in the UNICEF contact information (Optional).




15. To add or share attachments with the spot checker/auditor that are relevant to the eTools engagement. Click on the **Attachments** tab and upload the required attachments. This option will remain available during the life cycle of the spot check/audit.



16. To share attachments related to the partner and/or programme that are already uploaded on eTools. Click on the upload button. A pop-up window will appear showing the available documents from the eTools library. You can select multiple files and click on **Share** to attach them to the engagement as shown below



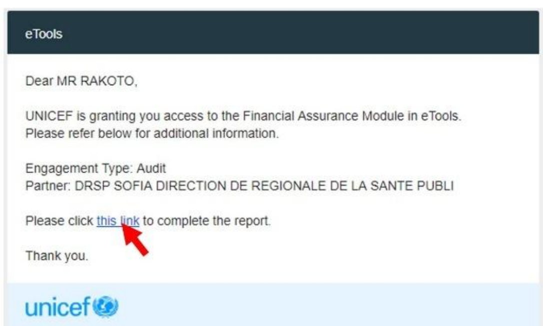

17. When finalizing the required information then, Click on Create icon in the bottom Status bar

18. The status of your engagement will change to **IP Contacted** (including the date IP was contacted). The Spot Checker/Auditor will receive an email informing them of their selection for the engagement.


## c) Reporting

Spot Checkers/Auditors will be able to complete reporting the eTools engagement and submit it to UNICEF for review, following the steps: -

19. Click the link in the email to gain access to the Financial Assurance Module, or sign in to eTools by clicking the link [https://etools.unicef.org/](https://etools.unicef.org/)



eTools

Dear MR RAKOTO,

UNICEF is granting you access to the Financial Assurance Module in eTools.
Please refer below for additional information.

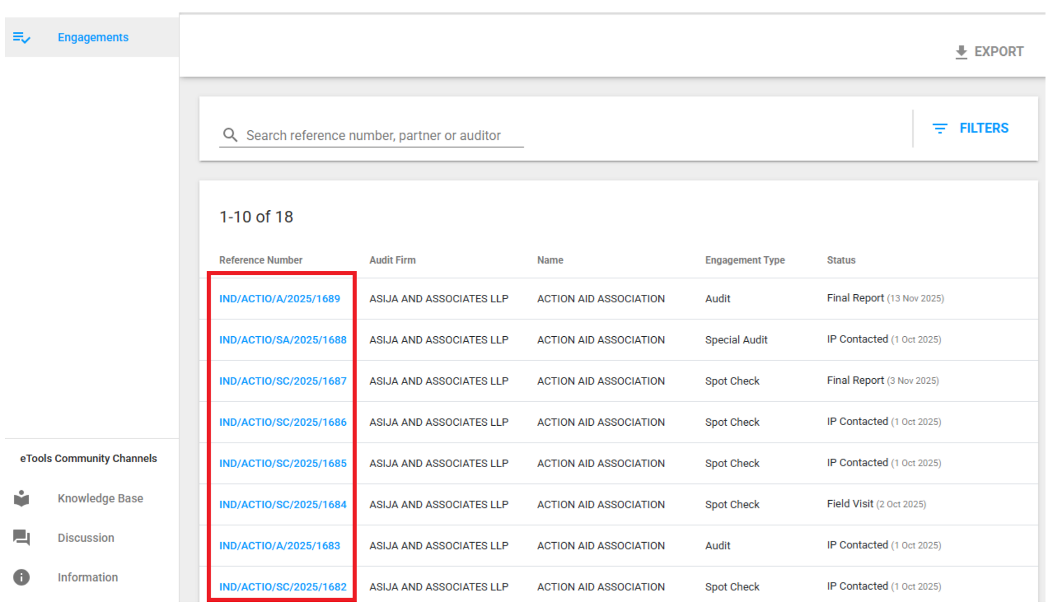
Engagement Type: Audit
Partner: DRSP SOFIA DIRECTION DE REGIONALE DE LA SANTE PUBLI

Please click this link to complete the report.

Thank you.

unicef

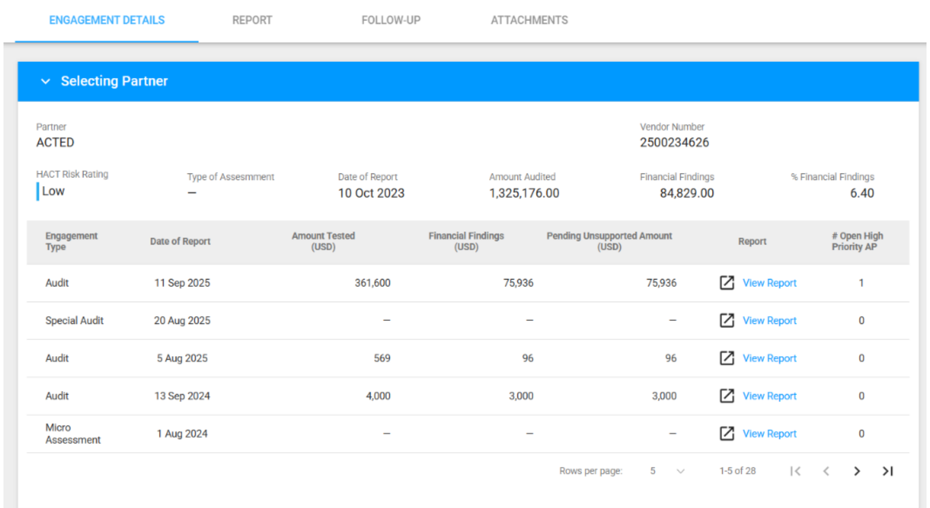
20. List of engagements will be displayed



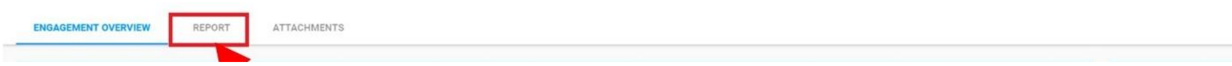

| Reference Number | Audit Firm | Name | Engagement Type | Status |
|---|---|---|---|---|
| IND/ACTIO/A/2025/1689 | ASIJA AND ASSOCIATES LLP | ACTION AID ASSOCIATION | Audit | Final Report (13 Nov 2025) |
| IND/ACTIO/SA/2025/1688 | ASIJA AND ASSOCIATES LLP | ACTION AID ASSOCIATION | Special Audit | IP Contacted (1 Oct 2025) |
| IND/ACTIO/SC/2025/1687 | ASIJA AND ASSOCIATES LLP | ACTION AID ASSOCIATION | Spot Check | Final Report (3 Nov 2025) |
| IND/ACTIO/SC/2025/1686 | ASIJA AND ASSOCIATES LLP | ACTION AID ASSOCIATION | Spot Check | IP Contacted (1 Oct 2025) |
| IND/ACTIO/SC/2025/1685 | ASIJA AND ASSOCIATES LLP | ACTION AID ASSOCIATION | Spot Check | IP Contacted (1 Oct 2025) |
| IND/ACTIO/SC/2025/1684 | ASIJA AND ASSOCIATES LLP | ACTION AID ASSOCIATION | Spot Check | Field Visit (2 Oct 2025) |
| IND/ACTIO/A/2025/1683 | ASIJA AND ASSOCIATES LLP | ACTION AID ASSOCIATION | Audit | IP Contacted (1 Oct 2025) |
| IND/ACTIO/SC/2025/1682 | ASIJA AND ASSOCIATES LLP | ACTION AID ASSOCIATION | Spot Check | IP Contacted (1 Oct 2025) |

21. Click on the **Unique ID** (Hyberlink) of the engagement you wish to complete the report

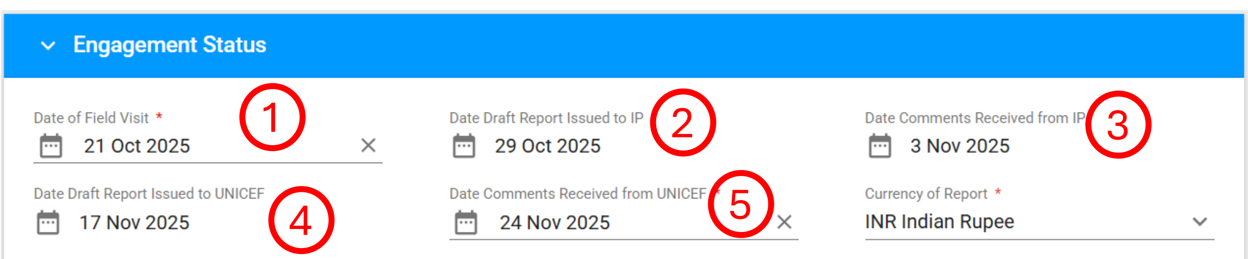
The engagement page will open, and you will be able to view the IP Historical records of assessments and assurances activities, outstanding financial findings, and the outstanding open action points, the engagement requested, FACE form(s) subjected for spot check/audit, and the partner information entered by UNICEF Focal Point.




22. Click on the **Report** Tab




23. Enter the **Date of the Field Visit**




**NOTE**: Once you enter the **Date of the Field Visit** into eTools engagement, the status will be updated to coincide with this date.
**NOTE**: After scheduling a field visit, the Spot Checker/Auditor will work with IP to collect appropriate data and conduct field work.

24. Once the field visit is completed, Spot Checker/Auditor is required to issue a draft report of their review to the partner for review and feedback. Once issued, you will enter the **Date of Draft Report** that is issued to IP in eTools.

25. Once you enter the **Date of Draft Report issued to IP** into eTools engagement, the status will update to coincide with this date.

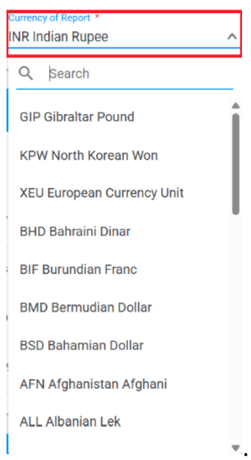
26. After the IP sends its comments, you will enter the **Date of Comments Received from IP.**

27. Once you enter the **Date Comments Received from IP** into eTools engagement, the status will update to coincide with this date.

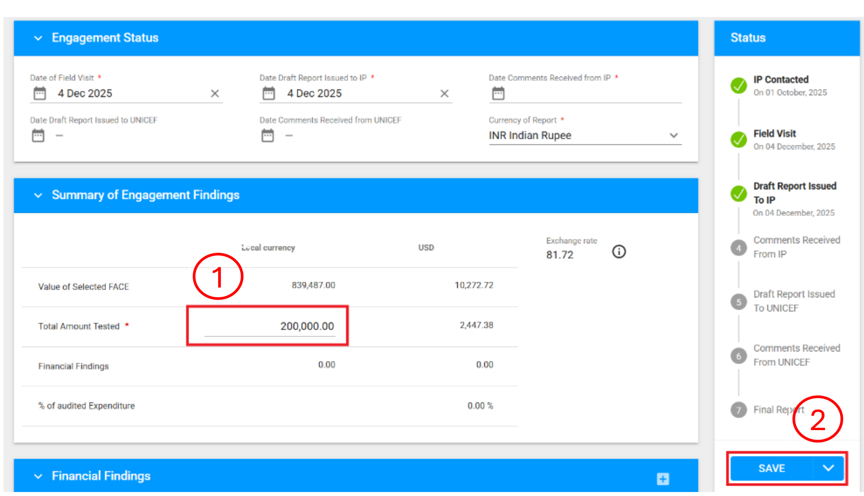
28. After you issue the draft report to UNICEF to review and make comments, you enter the **Date of Draft Report Issued to UNICEF.**

29. Once you enter the **Date of Draft Report is Issued to UNICEF** into eTools engagement, the status will update to coincide with this date.

30. Once the relevant dates are completed, the currency must also be selected. To select the spot check/audit currency, the spot checker/auditor needs to click on the drop-down list of **Currency of Report** and select the reporting currency

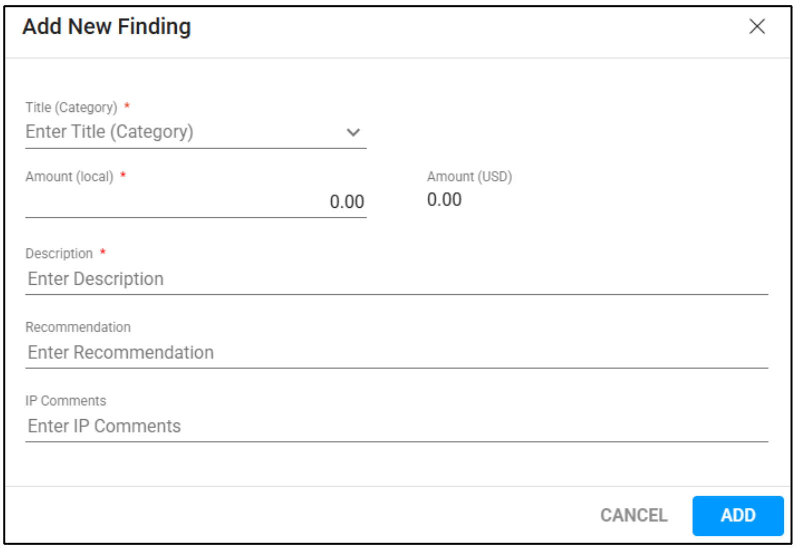



31. The next section allows the spot checker/auditor to indicate the total amount tested from the overall total amount subjected to spot check/audit during the field visit. The spot checker/auditor should record the total amount tested and then click **'Save'** to ensure that the eTools platform is updated.



32. In case any financial findings are required to be reported, then go to the **Financial Findings** section and click on the + sign

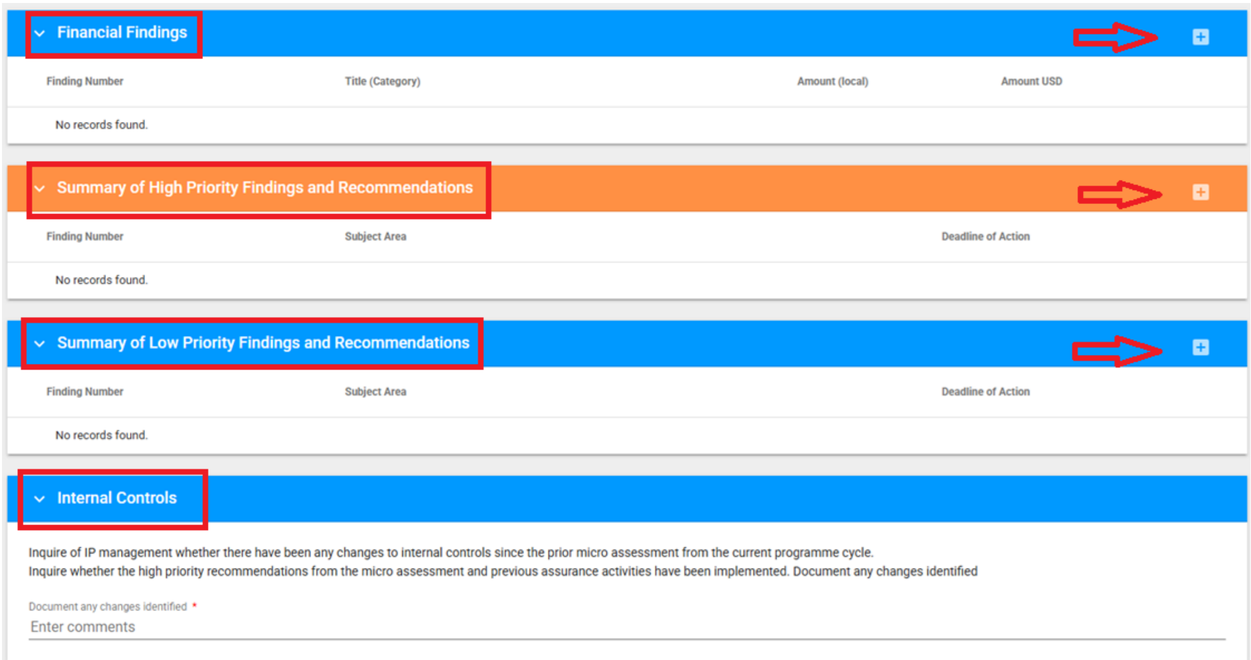

33. A pop-up window will appear. Add a description of the financial findings and click **Add**. Additional financial findings may be added according to the nature of the observations.




**NOTE: -** The spot checker/auditor will be able to record the financial findings in the same currency as the selected reporting FACE(s). Based on the exchange rate identified at the stage of creation of eTools engagement, the equivalent value in USD will be automatically generated alongside.

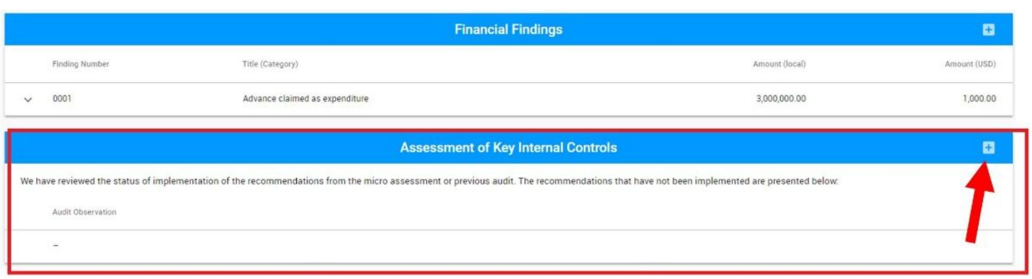
**NOTE: -** In case the FACE Form(s) currency was in USD, then the exchange rate will be equivalent to 1.

34. In case of spot check engagement,
    a. The Spot Checker/Auditor needs to add the summary of high-priority findings and recommendations, add the low priority findings and recommendations. (if applicable)

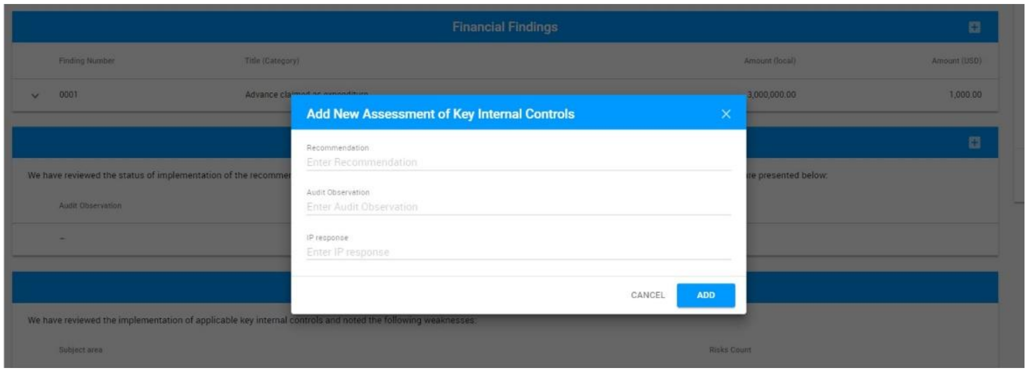



    b. Add if there is any changes identified for Internal Controls.

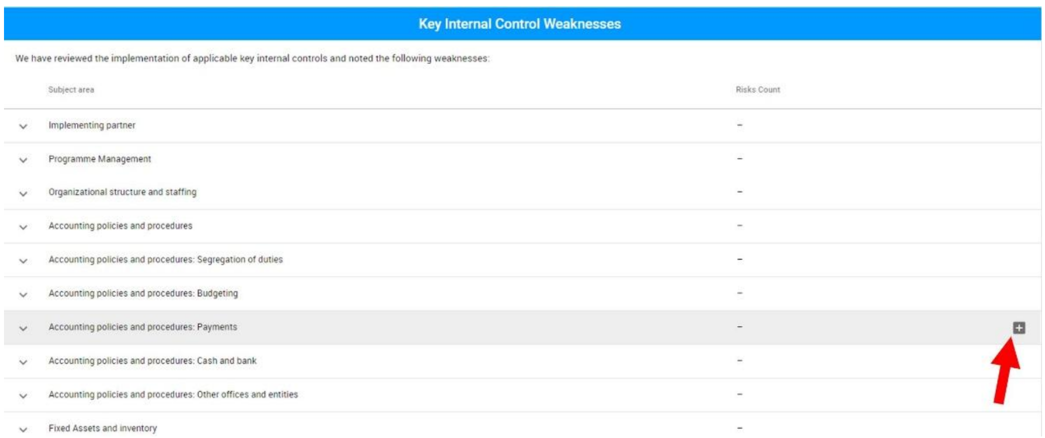
35. In case of audit engagement,
    a. Go to **Assessment of Key Internal Controls** and click on the + sign



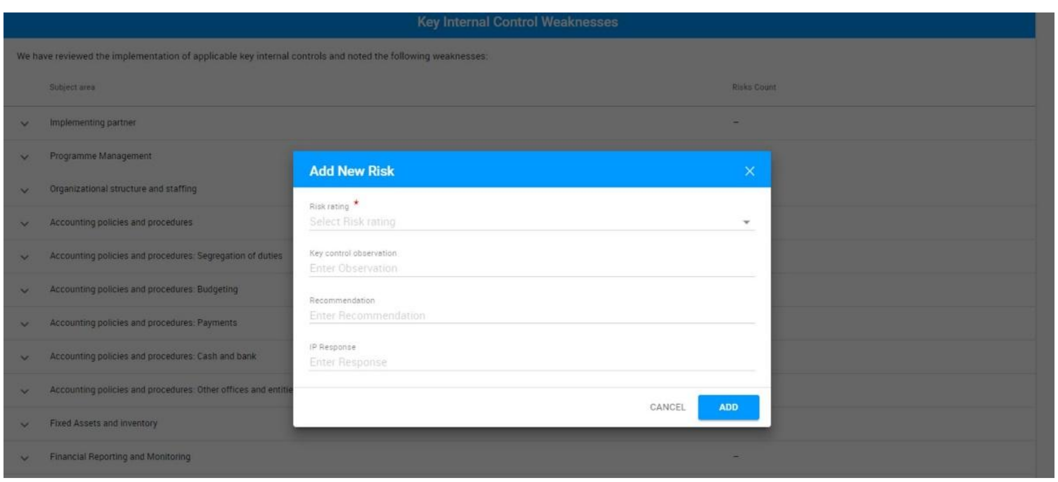
b. A pop-up window will appear. Add the details of the recommendation, audit observation and IP response, then click **add**. More observations can be added.



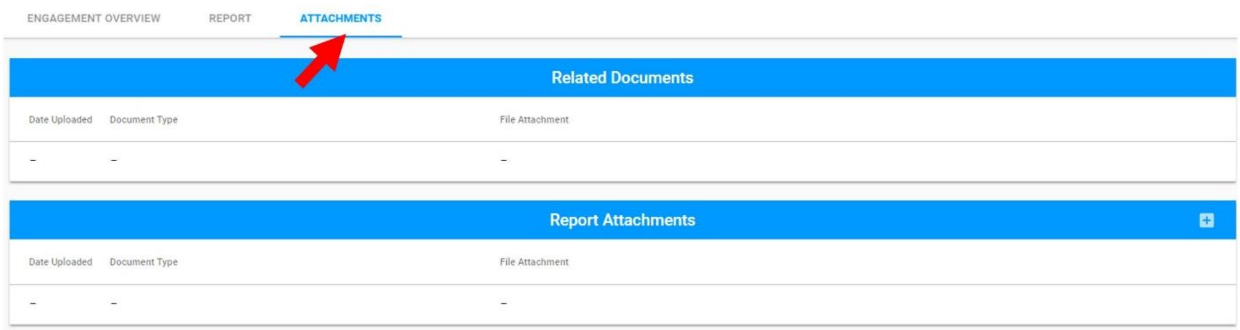

c. Go to **the Key Internal Control Weaknesses** card and click on the **+** sign next to each category to add an observation of risk area



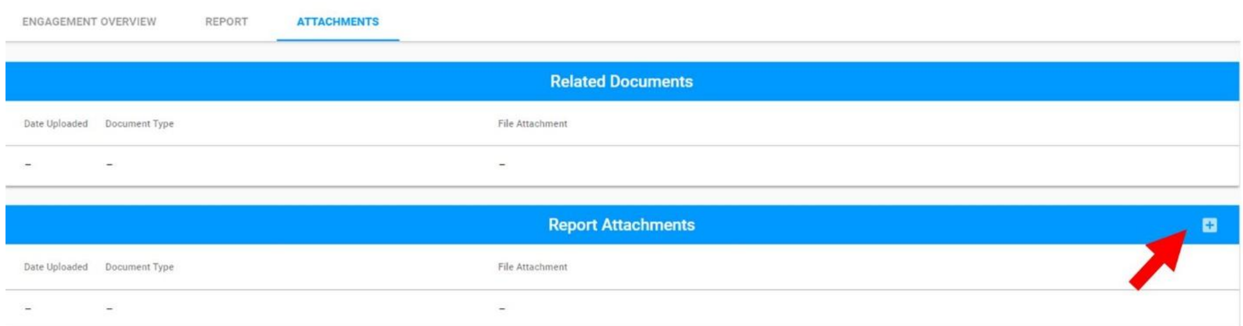

d. A pop-up window will appear. Complete the details and click **Add**. More risks can be added. This will populate the risk count in the Key Internal Control Weaknesses card.



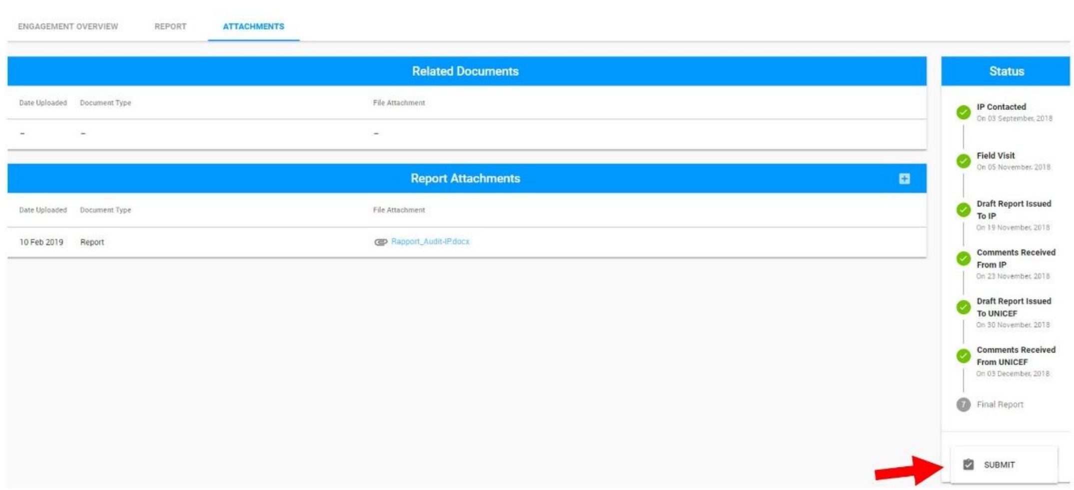
36. Go to the **Attachments** tab to attach your report



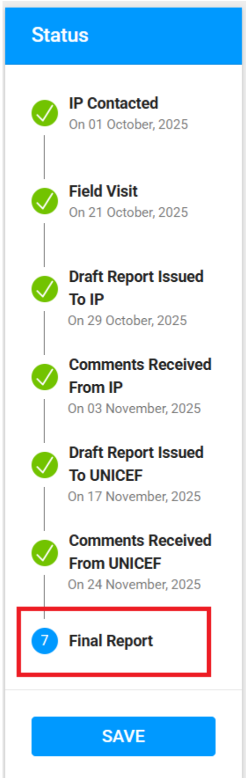

37. Click on + sign to attach a report




38. After the report is uploaded you can send the report to UNICEF audit focal point by clicking '**Submit'** (Can be found by clicking the arrow next to **Save)**.

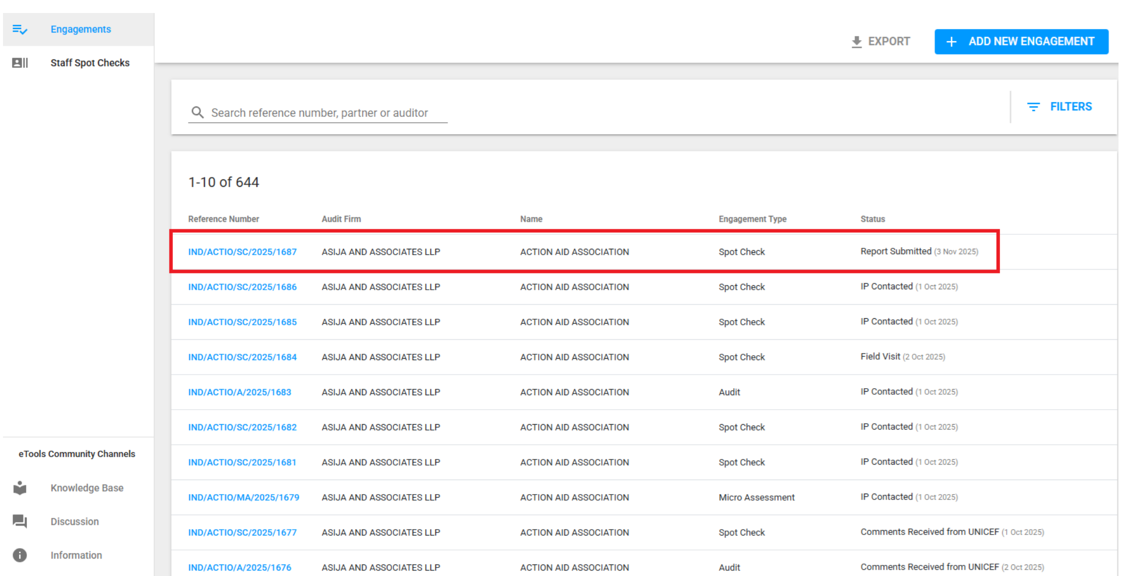


39. When the spot checker/auditor submits the report in eTools, the status of the report will be changed to **Final Report**.

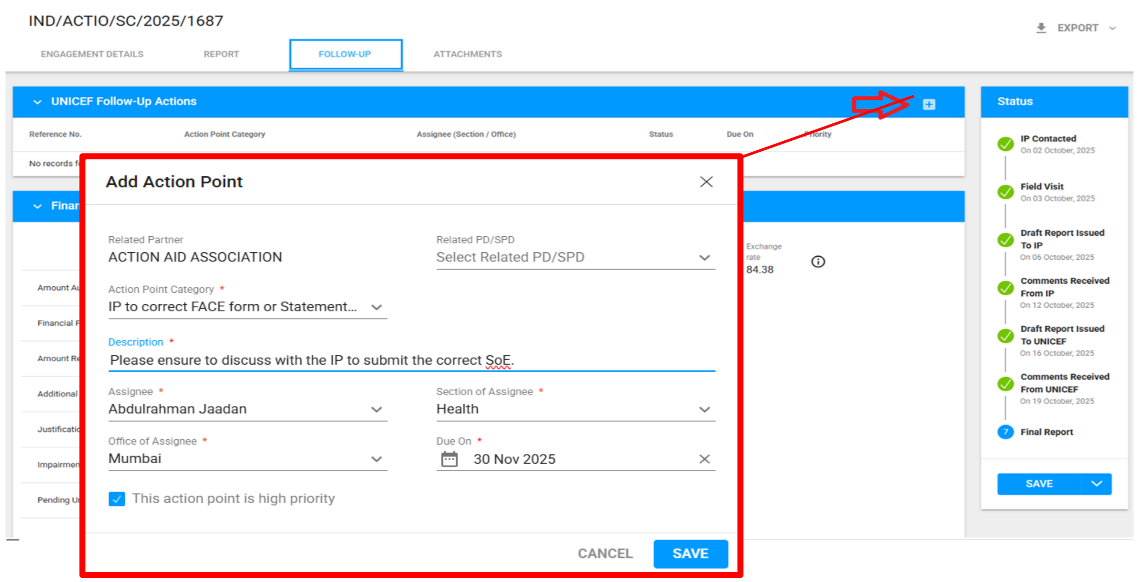



## d) Assigning Follow-Up Action Points

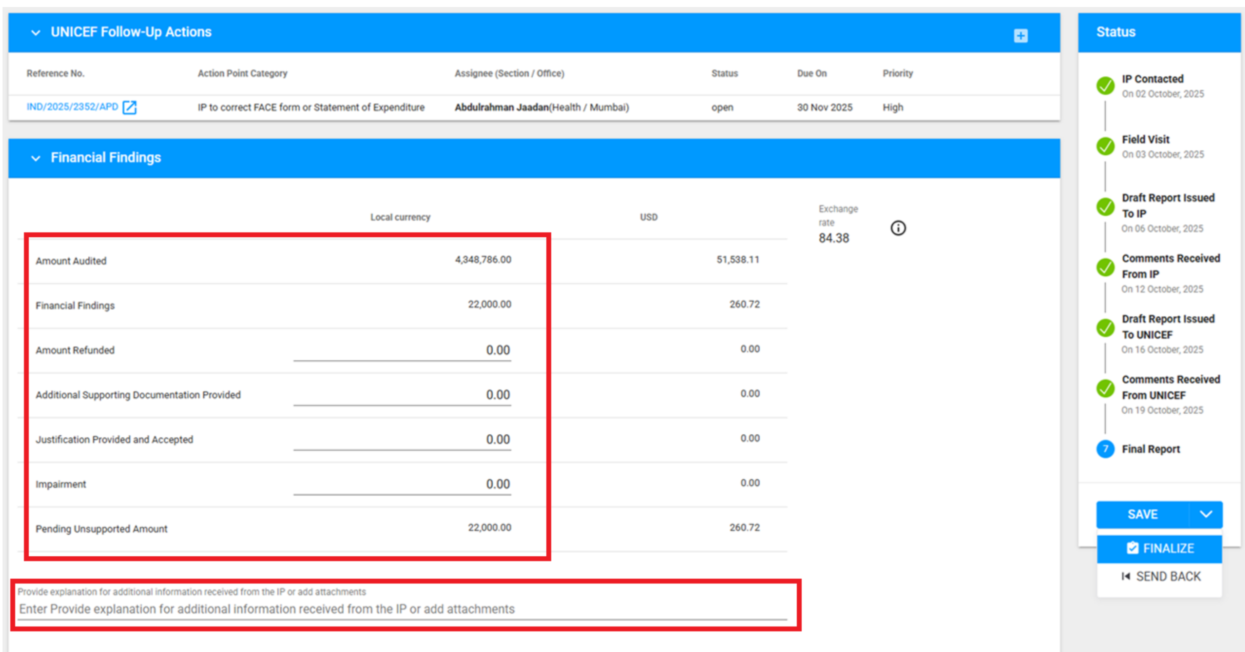
40. UNICEF audit focal point should review the spot check/audit reports received when the report is submitted from the spot checker/auditor.



41. UNICEF staff audit focal point should assign the high-priority action points if the report indicates any financial findings or high-priority observations.

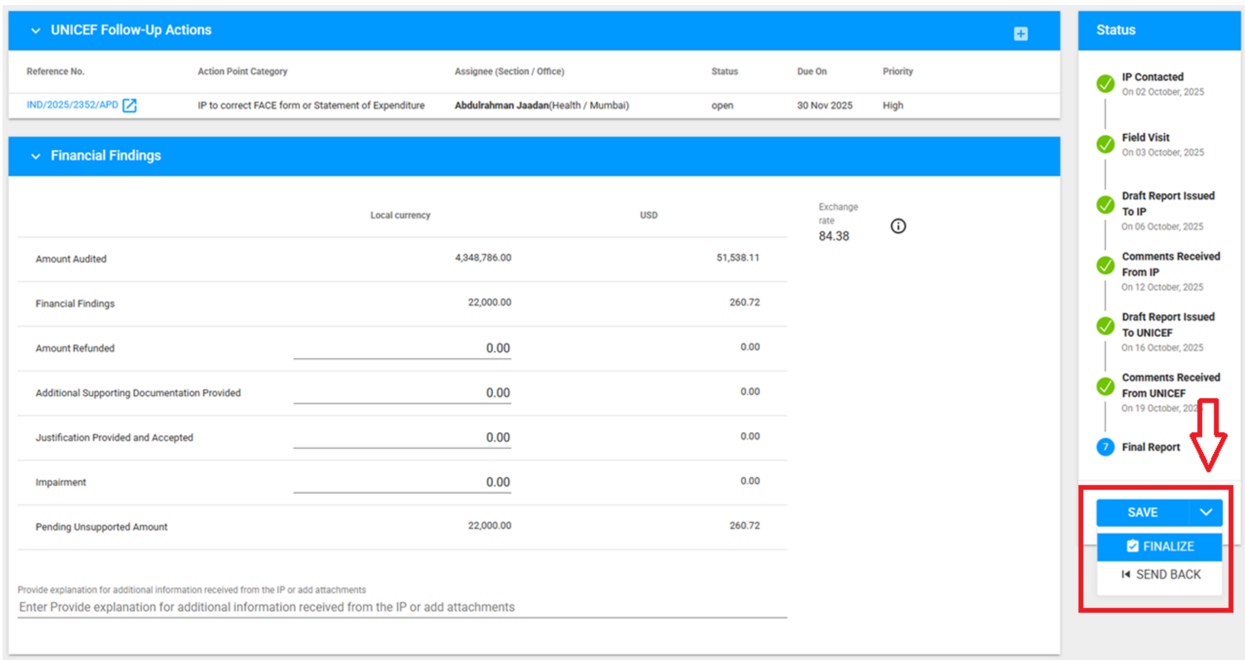


42. If any actions were taken to address the financial finding, you can add the type of action taken in the specific place *(a brief of the action taken needs to be added).*

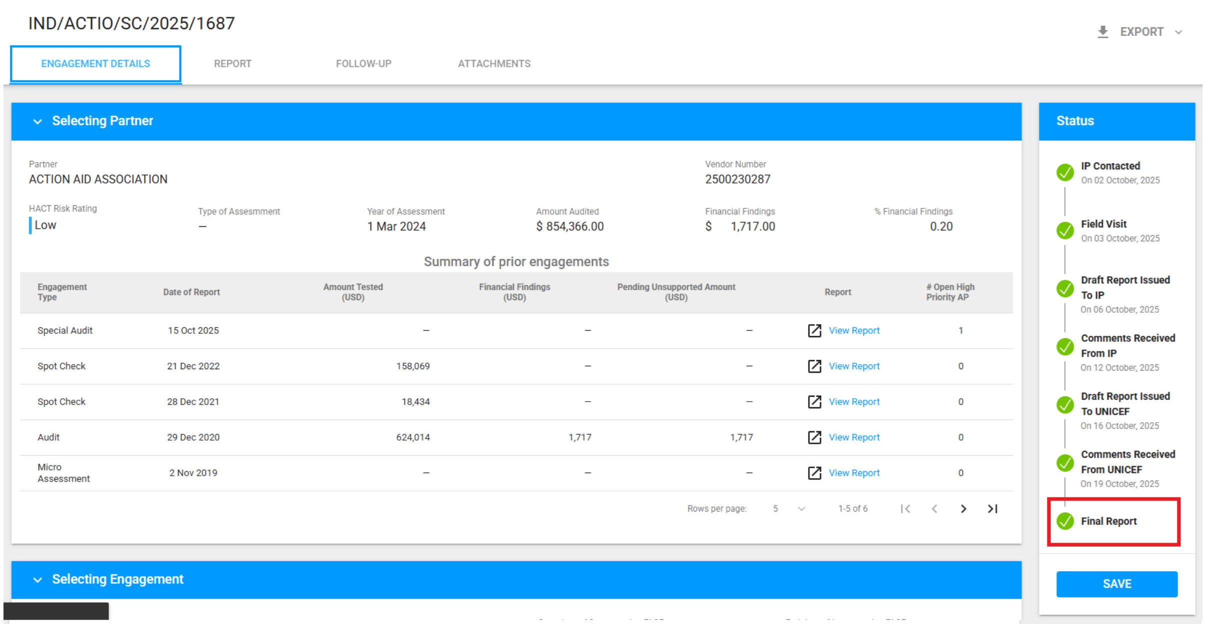


## e) Finalizing Engagement

43. When eTools engagement is ready to be finalized, UNICEF audit focal point can finalize the engagement by clicking on **Finalize** *(which can be found by clicking the arrow next to save).*




44. If the report was finalize, the status bar will show next to final report status.



## Other References

- UNICEF eTools online support is available. through the ticketing system through this link
- Knowledge base library in eTools Here

**----------------------------------- The End ---------------------------------------**